

BrokerCheck Report

JAMES G OSBORNE

CRD# 1030892

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.

About BrokerCheck®



BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - o information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - o information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.



JAMES G. OSBORNE
CRD# 1030892

Currently employed by and registered with the following Firm(s):

- IA

WELLS FARGO ADVISORS
5885 MEADOW RD 860
[SATELLITE]
LAKE OSWEGO, OR 97035
CRD# 11025
Registered with this firm since: 05/15/2025
- B

WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC
5885 MEADOW RD 860
[SATELLITE]
LAKE OSWEGO, OR 97035
CRD# 11025
Registered with this firm since: 05/15/2025

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is registered with:

- 1 Self-Regulatory Organization
- 51 U.S. states and territories

This broker has passed:

- 3 Principal/Supervisory Exams
- 3 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

This broker was previously registered with the following securities firm(s):

- IA

WELLS FARGO ADVISORS
CRD# 19616
ST. LOUIS, MO
03/2024 - 05/2025
- B

WELLS FARGO CLEARING SERVICES, LLC
CRD# 19616
VANCOUVER, WA
03/2024 - 05/2025
- IA

AMERIPRISE FINANCIAL SERVICES, LLC
CRD# 6363
MINNEAPOLIS, MN
12/2014 - 04/2024

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **Yes**

The following types of disclosures have been reported:

Type	Count
Customer Dispute	3

Broker Qualifications



Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 1 SRO and is licensed in 51 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC**

Main Office Address: **ONE NORTH JEFFERSON AVENUE
H0004-05C
ST. LOUIS, MO 63103**

Firm CRD#: **11025**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	05/15/2025
B	FINRA	General Securities Sales Supervisor	Approved	05/15/2025

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	05/20/2025
B	Alaska	Agent	Approved	05/15/2025
B	Arizona	Agent	Approved	05/15/2025
B	Arkansas	Agent	Approved	05/15/2025
B	California	Agent	Approved	05/15/2025
B	Colorado	Agent	Approved	05/15/2025
B	Connecticut	Agent	Approved	05/15/2025
B	Delaware	Agent	Approved	05/22/2025
B	District of Columbia	Agent	Approved	05/15/2025
B	Florida	Agent	Approved	05/15/2025
B	Georgia	Agent	Approved	05/16/2025

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Hawaii	Agent	Approved	05/15/2025
B	Idaho	Agent	Approved	05/19/2025
B	Illinois	Agent	Approved	05/20/2025
B	Indiana	Agent	Approved	05/22/2025
B	Iowa	Agent	Approved	05/19/2025
B	Kansas	Agent	Approved	05/15/2025
B	Kentucky	Agent	Approved	05/15/2025
B	Louisiana	Agent	Approved	05/15/2025
B	Maine	Agent	Approved	05/15/2025
B	Maryland	Agent	Approved	05/15/2025
B	Massachusetts	Agent	Approved	05/16/2025
B	Michigan	Agent	Approved	05/15/2025
B	Minnesota	Agent	Approved	05/20/2025
B	Mississippi	Agent	Approved	05/15/2025
B	Missouri	Agent	Approved	05/15/2025
B	Montana	Agent	Approved	05/20/2025
B	Nebraska	Agent	Approved	05/15/2025
B	Nevada	Agent	Approved	05/20/2025
B	New Hampshire	Agent	Approved	05/20/2025
B	New Jersey	Agent	Approved	05/15/2025
B	New Mexico	Agent	Approved	05/15/2025

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	New York	Agent	Approved	05/15/2025
B	North Carolina	Agent	Approved	05/15/2025
B	North Dakota	Agent	Approved	05/15/2025
B	Ohio	Agent	Approved	05/15/2025
B	Oklahoma	Agent	Approved	05/20/2025
B	Oregon	Agent	Approved	05/20/2025
IA	Oregon	Investment Adviser Representative	Approved	05/20/2025
B	Pennsylvania	Agent	Approved	05/15/2025
B	Rhode Island	Agent	Approved	05/23/2025
B	South Carolina	Agent	Approved	05/15/2025
B	South Dakota	Agent	Approved	05/20/2025
B	Tennessee	Agent	Approved	05/15/2025
B	Texas	Agent	Approved	05/15/2025
IA	Texas	Investment Adviser Representative	Restricted Approval	05/15/2025
B	Utah	Agent	Approved	05/16/2025
B	Vermont	Agent	Approved	05/15/2025
B	Virginia	Agent	Approved	05/15/2025
B	Washington	Agent	Approved	05/19/2025
IA	Washington	Investment Adviser Representative	Approved	05/19/2025
B	West Virginia	Agent	Approved	05/15/2025
B	Wisconsin	Agent	Approved	05/15/2025



Broker Qualifications

Employment 1 of 1, continued

U.S. State/ Territory		Category	Status	Date
B	Wyoming	Agent	Approved	05/15/2025

Branch Office Locations

WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC
5885 MEADOW RD 860
[SATELLITE]
LAKE OSWEGO, OR 97035



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 3 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Sales Supervisor - General Module Examination	Series 10	01/02/2023
B General Securities Sales Supervisor - Options Module Examination	Series 9	01/02/2023
B General Securities Sales Supervisor Examination (Options Module & General Module)	Series 8	08/19/1985

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B National Commodity Futures Examination	Series 3	08/05/1994
B General Securities Representative Examination	Series 7	02/20/1982

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	12/31/1993
B Uniform Securities Agent State Law Examination	Series 63	02/22/1985

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications



Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

	Registration Dates	Firm Name	CRD#	Branch Location
IA	03/2024 - 05/2025	WELLS FARGO ADVISORS	19616	VANCOUVER, WA
B	03/2024 - 05/2025	WELLS FARGO CLEARING SERVICES, LLC	19616	VANCOUVER, WA
IA	12/2014 - 04/2024	AMERIPRISE FINANCIAL SERVICES, LLC	6363	Portland, OR
B	11/2014 - 04/2024	AMERIPRISE FINANCIAL SERVICES, LLC	6363	Portland, OR
IA	03/2000 - 12/2014	WELLS FARGO ADVISORS, LLC	19616	LAKE OSWEGO, OR
B	12/1997 - 12/2014	WELLS FARGO ADVISORS, LLC	19616	LAKE OSWEGO, OR
B	01/1984 - 12/1997	PRUDENTIAL SECURITIES INCORPORATED	7471	NEW YORK, NY
B	03/1982 - 10/1983	PAINE, WEBBER, JACKSON & CURTIS INC.	8174	

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
05/2025 - Present	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	REGISTERED REP	Y	Lake Oswego, OR, United States
03/2024 - 05/2025	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	VANCOUVER, WA, United States
03/2020 - 03/2024	Ameriprise Financial Services, LLC	Registered Rep	Y	Portland, OR, United States
11/2014 - 03/2020	Ameriprise Financial Services, Inc.	Registered Rep	Y	Portland, OR, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious or fraternal and is recognized as tax exempt.

Registration and Employment History



Other Business Activities, continued

No information reported.

Disclosure Events



What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - o A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
 - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - o As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
 - o
4. **There are different statuses and dispositions for disclosure events:**
 - o A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" event involves allegations that have not been proven or formally adjudicated.
 - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" event has been concluded and its resolution is not subject to change.
 - o A final event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Customer Dispute	0	3	N/A



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Customer Dispute - Award / Judgment

This type of disclosure event involves a final, consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the broker that resulted in an arbitration award or civil judgment for the customer.

Disclosure 1 of 1

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	FIRST UNION SECURITIES, INC.
Allegations:	BREACH OF CONTRACT, NEGLIGENCE, COMMON LAW FRAUD, BREACH OF FIDUCIARY DUTY AND CONSUMER FRAUD AND DECEPTIVE BUSINESS PRACTICES.
Product Type:	Other
Other Product Type(s):	STOCK
Alleged Damages:	\$285,043.29

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #00-04456
Date Notice/Process Served:	10/06/2000
Arbitration Pending?	No
Disposition:	Award
Disposition Date:	09/18/2002
Disposition Detail:	RESPONDENT IS JOINTLY AND SEVERALLY LIABLE FOR AND SHALL PAY TO CLAIMANTS THE SUM OF \$72,380.54 AS COMPENSATORY DAMAGES AND INTEREST.



Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: FIRST UNION SECURITIES, INC.

Allegations: CLAIMANTS ALLEGE THAT AS A RESULT OF FIRST UNION SECURITIES' INCORRECT DETERMINATION THAT THE SHARES OF WASATCH INTERNATIONAL CORPORATION, THAT THEY, HELD WERE RESTRICTED UNDER RULE 144, THE FIRM UNDERTOOK WRONGFUL ACTIONS REGARDING THEIR SHARES, THERBY CAUSING THEM DAMAGES.

Product Type: Equity Listed (Common & Preferred Stock)
Alleged Damages: \$285,000.00

Customer Complaint Information

Date Complaint Received: 10/18/2000
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 10/18/2000

Settlement Amount:
Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD ARBITRATION #00-04456](#)

Date Notice/Process Served: 10/18/2000
Arbitration Pending? No
Disposition: Award to Customer
Disposition Date: 09/18/2002
Monetary Compensation Amount: \$72,380.54
Individual Contribution Amount: \$0.00

Broker Statement NASD ARBITRATION PANEL AWARDED THE CLAIMANTS THE SUM OF



\$72,380.54.



Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 2

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	EVEREN SECURITIES, INC.
Allegations:	CLAIMANT, TRUSTEE OF INSURANCE FUNDS RECEIVED BY AN 8 YEAR OLD GIRL FROM HER MOTHER'S ACCIDENTAL DEATH, ALLEGES FORMER FA, YUSAF JAWED, MISMANAGED THE FUNDS AND FAILED TO INVEST THE MONEY CONSERVATIVELY AND IN CONJUNCTION WITH THE PRINCIPLES OF HALAL. CHURNING AND UNAUTHORIZED TRADING ARE ALSO CLAIMED. OSBORNE WAS NAMED IN A SUPERVISORY CAPACITY AND HAD NO PERSONAL INVOLVEMENT IN THE INVESTMENTS AT ISSUE.
Product Type:	Mutual Fund(s)
Other Product Type(s):	EQUITY-OTC
Alleged Damages:	\$400,000.00

Customer Complaint Information

Date Complaint Received:	07/19/1999
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	07/19/1999
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD ARBITRATION # 99-02745
Date Notice/Process Served:	07/19/1999
Arbitration Pending?	No
Disposition:	Settled



Disposition Date: 11/15/2000

Broker Statement FOR BUSINESS PURPOSES AND WITHOUT ADMITTING ANY LIABILITY ON PART OF THE FIRM, THIS MATTER WAS SETTLED IN THE AMOUNT OF \$95,000. JIM OSBORNE WAS NOT ASKED TO CONTRIBUTE TO THE SETTLEMENT.

Disclosure 2 of 2

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: PRUDENTIAL SECURITIES, INC.

Allegations: WIDOW OF SEMI-SOPHISTICATED INVESTOR ALLEGED SALE TO LATE HUSBAND OF UNSUITABLE DIRECT INVESTMENTS.

Product Type: Direct Investment(s) - DPP & LP Interest(s)

Alleged Damages: \$96,984.00

Customer Complaint Information

Date Complaint Received: 07/13/1991

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 07/13/1991

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: AMERICAN ARBITRATION ASSOCIATION; 75-136-0084-92

Date Notice/Process Served: 03/06/1992

Arbitration Pending? No

Disposition: Settled

Disposition Date: 10/09/1992

Monetary Compensation Amount: \$50,000.00



**Individual Contribution
Amount:**

\$0.00

Broker Statement

SETTLED. \$50,000.00
THE TRANSACTIONS IN QUESTION WERE DONE OVER A
PERIOD OF SEVERAL YEARS, WITH THE COMPLETE CONSENT OF THE
CLIENT IN A SINGLE ACCOUNT. OVER THAT PERIOD OF TIME, THE
CLIENT ALWAYS HAD AN OBJECTIVE OF SHELTERING INCOME OR TAX
FREE
INCOME WITH MODEST GROWTH. THE DIRECT INVESTMENTS NEVER
MADE UP
OVER 15-20% OF THE ACCOUNT AND MOST ARE STILL GENERATING
INCOME. THE CLIENT WAS KEPT APPRISED OF THE PERFORMANCE OF
THE
PORTFOLIO THROUGH REGULAR MEETINGS. WITH REGARD TO
SOPHISTICATION, THE CLIENT HAD DEALINGS WITH VARIOUS FIRMS IN
RELATIVELY SPECULATIVE EQUITIES AND HE WAS A TRUSTEE OF THE
WEST COAST TEAMSTERS PENSION WITH THE RESPONSIBILITY OF
OVERSEEING THE INVESTMENT OF ASSETS IN EXCESS OF ONE BILLION
DOLLARS.

End of Report



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